



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Pinney et al.
APPLICATION NO.: 10/070,484 EXAMINER: Aulakh Charanjit
FILING DATE: October 11, 2002 ART UNIT: 1625
FOR: INDOLE-CONTAINING AND COMBRETASTATIN-RELATED ANTI-MITOTIC & ANTI-TUBULIN POLYMERIZATION AGENTS

March 23, 2004
Boston, Massachusetts

MAIL STOP PATENT APPLICATION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER

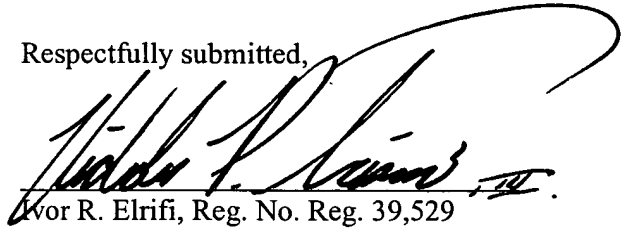
Transmitted herewith for filing in the present application are the following documents:

- ☒ Request for Correction of Inventorship under 37 C.F.R. § 1.48(a) (2 pgs., in duplicate);
- ☒ Written Consent of Assignee to Correction of Inventorship (2 pgs.);
- ☒ Copy of Transmittal and copy of Recordation Form Coversheet of Assignment Document from Kevin G. Pinney and Feng Wang to Baylor University, (3 pgs.);
- ☒ Copy of Transmittal and copy of Recordation Form Coversheet of Assignment Document from Mallinath Hadimani to Baylor University, (2 pgs.);
- ☒ Statement of Inventors to be Added in Connection with Request for Correction of Inventorship Under 37 C.F.R. § 1.48(a) signed by Mallinath Hadimani (1 pg);
- ☒ Check No. 18283 for \$130.00 under 37 C.F.R. § 1.17(i);
- ☒ Supplemental Combined Declaration and Power of Attorney for Patent Application (3 pgs.); and
- ☒ Return Postcard.

Applicants believe that no additional fees are due in connection with this submission. However, the Commissioner is authorized to credit any overpayment or charge any deficiencies to Deposit Account No. 50-0311, Reference No. 18217-524 NATL. A duplicate copy of this Transmittal Letter is enclosed.

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 542-6000, Boston, Massachusetts.

Respectfully submitted,



Ivor R. Elrifi, Reg. No. Reg. 39,529

Naomi S. Biswas, Esq., Reg. No. 38,384

Nicholas P. Triano, III, Reg. 36,397

Attorneys for Applicant

c/o MINTZ, LEVIN, COHN, FERRIS,
GLOVSKY AND POPEO, P.C.

One Financial Center

Boston, Massachusetts 02111

Customer No. 30623

Tel: (617) 542-6000

Fax: (617) 542-2241

TRA 1882368v1

Express Mail Label No.: EV 328704572 US
Date of Deposit: March 23, 2004

Attorney Docket No. 18217-524 NATL



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Pinney et al.
APPLICATION NO.: 10/070,484 EXAMINER: Aulakh Charanjit
FILING DATE: October 11, 2002 ART UNIT: 1625
FOR: INDOLE-CONTAINING AND COMBRETASTATIN-RELATED ANTI-MITOTIC & ANTI-TUBULIN POLYMERIZATION AGENTS

March 23, 2004
Boston, Massachusetts

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P.O. Box 1450
Alexandria, VA 22313-1450

REQUEST FOR CORRECTION OF INVENTORSHIP

Pursuant to 37 C.F.R. § 1.48(a), Applicants hereby request the correction of inventorship of the above-identified application. This Request is accompanied by a check in the amount of \$130.00 as set forth in 37 C.F.R. § 1.17(i); statements from each person being added as an inventor that the error occurred without deceptive intent, as required by 37 C.F.R. § 1.48 (a)(2); a supplemental oath or declaration executed by the actual inventors in accordance with 37 C.F.R. § 1.63, as required by 37 C.F.R. § 1.48 (a)(3); and the written consent of the assignee, as required by 37 C.F.R. § 1.48(a)(5).

Specifically, Applicants wish to add the inventor Mallinath Hadimani to this application; and delete inventor Maria del Pilar Mejia from this application. The deletion of inventor Maria del Pilar Mejia is due to inventor Maria del Pilar Meijia's invention no longer being claimed in the above-identified application due to the cancellation of claims 37-40.

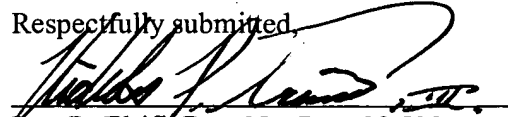
03/24/2004 AADDF01 00000080 10070484

01 FC:1460

130.00 OP

Please charge any additional fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311, Reference No. 18217-524 NATL. A duplicate copy of this Request is enclosed.

Respectfully submitted,



Ivor R. Elrifi, Reg. No. Reg. 39,529

Naomi S. Biswas, Esq., Reg. No. 38,384

Nicholas P. Triano, III, Reg. 36,397

Attorneys for Applicant

c/o MINTZ, LEVIN, COHN, FERRIS,
GLOVSKY AND POPEO, P.C.

One Financial Center

Boston, Massachusetts 02111

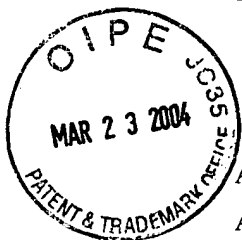
Customer No. 30623

Tel: (617) 542-6000

Fax: (617) 542-2241

Express Mail Label No.: EV 328704572 US
Date of Deposit: March 23, 2004

Attorney Docket No. 18217-524 NATL



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Pinney et al.
APPLICATION NO.: 10/070,484 EXAMINER: Aulakh Charanjit
FILING DATE: October 11, 2002 ART UNIT: 1625
FOR: INDOLE-CONTAINING AND COMBRETASTATIN-RELATED ANTI-MITOTIC & ANTI-TUBULIN POLYMERIZATION AGENTS

March 8, 2004
Boston, Massachusetts

MAIL STOP PATENT APPLICATION
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**CONSENT OF ASSIGNEE TO CORRECT INVENTORSHIP
PURSUANT TO 37 C.F.R. §1.48(a)**

The Assignee of the present application, BAYLOR UNIVERSITY, hereby provides consent to effect the correction of inventorship pursuant to 37 C.F.R. §1.48(a) as requested by the Applicants in order to add Mallinath Hadimani as an actual inventor of the present application.

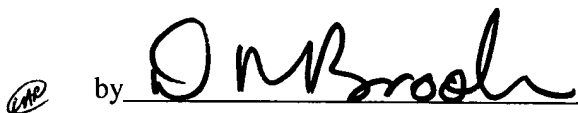
BAYLOR UNIVERSITY certifies under 37 C.F.R. § 3.73(b) that it is the Assignee of the entire right, title and interest in the application for patent identified above. To establish ownership of the present application, enclosed herewith are copies of the Transmittal of Recordation of Assignment Documents mailed to the Assignment Division of the U.S. Patent and Trademark Office. These documents reflect the transfer of ownership of the present application from the Applicants/Assignors to the ultimate Assignee, BAYLOR UNIVERSITY.

I, the undersigned, am empowered to act on behalf of the Assignee, or have apparent authority to sign on behalf of the Assignee. In this capacity, I have reviewed all the documents in the chain of title of the patent identified above and, to the best of my knowledge and belief, title is in the Assignee identified above.

I, the undersigned, hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. § 1001 and that such willful false statements may jeopardize the validity of the patent.

The fee required under 37 C.F.R. § 1.48(a) accompanies this paper. No other fees are believed due. However, Applicants hereby authorize the Commissioner to charge any additional fees that may be occasioned by this paper, or credit any overpayment of same, to Deposit Account No. 50-0311, Reference No. 18217-524 NATL.

Respectfully submitted,
BAYLOR UNIVERSITY

 by David R. Brooks

Name (print): DAVID R. BROOKS

Title: VICE PRESIDENT FOR FINANCE & ADMINISTRATION

Dated: March 8, 2004

TRA 1882365v1

Express Mail Label No.: EV 328705272 US
Date of Deposit: December 5, 2003

Attorney Docket No. 18217-524 NATL.
(Formerly 18217-640 NATL.)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS : Kevin G. Pinney *et al.*
APPLICATION NUMBER : 10/070,484 EXAMINER : Charanjit S. Aulakh
FILING DATE : October 11, 2002 ART UNIT : 1625
FOR : INDOLE-CONTAINING AND COMBRETASTATIN-
RELATED ANTI-MITOTIC AND ANTI-TUBULIN
POLYMERIZATION AGENTS

December 5, 2003
Boston, Massachusetts

Mail Stop Assignment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

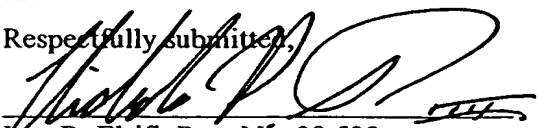
TRANSMITTAL LETTER

Transmitted herewith for filing in the present application are the following documents:

- ☒ Recordation Form Cover Sheet (1 page);
- ☒ Executed Assignments (9 total pages);
- ☒ Check #17657 in the amount of \$40.00; and
- ☒ Return Postcard.

Applicant believes that no additional fees are due in connection with this submission. However, the Commissioner is authorized to credit any overpayment or charge any deficiencies to Deposit Account No. 50-0311, Reference No. 18217-524 NATL. A duplicate copy of this Transmittal Letter is enclosed. If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 542-6000, Boston, Massachusetts.

Respectfully submitted,


For R. Elrifi, Reg. No. 39,529
Naomi S. Biswas, Reg. No. 38,384
Nicholas P. Triano, III, Reg. 36,397
Attorney for Applicant
c/o MINTZ, LEVIN, COHN, FERRIS,
GLOVSKY AND POPEO, P.C.
One Financial Center
Boston, Massachusetts 02111
Tel: (617) 542-6000
Fax: (617) 542-2241
Customer No. 30623

COPY

Express Mail Label No. EV 328705272 US
Date of Deposit: December 5, 2003



Attorney Docket No. 18217-524 NATL.
(Formerly 18217-640 NATL.)

RECORDATION FORM COVER SHEET
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FORM PTO-1595
(Rev. 6-93)
OMB No. 0651-0011 (exp. 4/94)

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Kevin G. Pinney (Executed December 1, 2003)
Feng Wang (Executed December 1, 2003)
Maria Del Pilar Mejia (Executed December 2, 2003)

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: Baylor University

Street Address: 1311 South Fifth Street, Waco, TX 76798

3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is _____

A. Patent Application No(s):

10/070,484

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence
Concerning document should be mailed:

Name: Ivor R. Elrifi, Ph.D., Esq.
Address: MINTZ, LEVIN, COHN, FERRIS
GLOVSKY and POPEO, P.C.
One Financial Center
Boston, MA 02111

6. Total number of applications and patents involved: [1]

7. Total fee (37 CFR 3.41)

\$40.00

☒ Enclosed
☒ The Commissioner is authorized to charge any deficiency or credit
any overpayment to Deposit Account No: 50-0311, Reference No.
18217-524 NATL.

DO NOT USE THIS SPACE

9. Statement and signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Nicholas P. Triano, Reg. No. 36,397

Name of Person Signing

Signature

December 5, 2003

Date

Total number of pages including cover sheet, attachments, and document: [10]

Mail documents to be recorded with required cover sheet information to:

MAIL STOP ASSIGNMENT
COMMISSIONER FOR PATENTS
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



APPLICANTS : Kevin Pinney et al.

APPLICATION NO: 10/070,484

EXAMINER : Aulakh Charanjit

FILING DATE : October 11, 2002

ART UNIT : 1625

FOR : INDOLE-CONTAINING AND COMBRETASTATIN-RELATED ANTI-MITOTIC & ANTI-TUBULIN POLYMERIZATION AGENTS

March 23, 2004
Boston, Massachusetts

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Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER

Transmitted herewith for filing in the present application are the following documents:

- ☒ Recordation Form Cover Sheet (1 page);
- ☒ Executed Assignment of Mallinath Hadimani to Baylor University (2 pages);
- ☒ Check #18307 in the amount of \$40.00; and
- ☒ Return Postcard.

Applicant believes that no additional fees are due in connection with this submission. However, the Commissioner is authorized to credit any overpayment or charge any deficiencies to Deposit Account No. 50-0311, Reference No. 18217-524 NATL. A duplicate copy of this Transmittal Letter is enclosed. If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 542-6000, Boston, Massachusetts.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Nicholas P. Triano, III".

Ivor R. Elrifi, Reg. No. 39,529

Nicholas P. Triano, III, Reg. 36,397

Attorney for Applicant

c/o MINTZ, LEVIN, COHN, FERRIS,
GLOVSKY AND POPEO, P.C.

One Financial Center

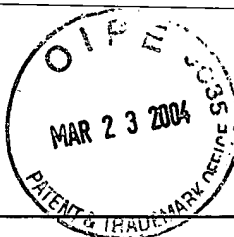
Boston, Massachusetts 02111

Customer No. 30623

Tel: (617) 542-6000

Fax: (617) 542-2241

Express Mail Label No.: EV 328211714 US
Date of Deposit: March 23, 2004



Attorney Docket No. 18217-524 NATL.

RECORDATION FORM COVER SHEET
PATENTS ONLY

FORM PTO-1595
(Rev. 6-93)
OMB No. 0651-0011 (exp. 4/94)

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Mallinath Hadimani

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: Baylor University

Street Address: 1311 South Fifth Street, Waco, TX 76798

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Additional name(s) & address(es) attached? ☐ Yes ☒ No

Execution Date: March 19, 2004

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is _____

A. Patent Application No(s):

10/070,484

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence
Concerning document should be mailed:

Name: Ivor R. Elrifi, Ph.D., Esq.
Address: MINTZ, LEVIN, COHN, FERRIS
GLOVSKY and POPEO, P.C.
One Financial Center
Boston, MA 02111

6. Total number of applications and patents involved: [1]

7. Total fee (37 CFR 3.41) \$40.00

- ☒ Enclosed
☒ The Commissioner is authorized to charge any deficiencies or credit any overpayment to Deposit Account No: 50-0311, Reference No. 18217-524 NATL.

DO NOT USE THIS SPACE

9. Statement and signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Nicholas P. Triano, III, Reg. No. 36,397

March 23, 2004

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: [3]

Mail documents to be recorded with required cover sheet information to:

MAIL STOP ASSIGNMENT
COMMISSIONER FOR PATENTS
P.O. BOX 1450
ALEXANDRIA, VA 22313-1450

Express Mail Label No.: **EV 328704572 US**
Date of Deposit: **March 23, 2004**

Attorney Docket No. 18217-524 NATL



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Pinney, K. et al.

APPLICATION 10/070,484
No.:

EXAMINER : Charanjit, Aulakh

FILING DATE: October 11, 2002

ART UNIT : 1625

FOR: "INDOLE-CONTAINING AND COMBRETASTATIN-RELATED ANTI-MITOTIC AND ANTI-TUBULIN POLYMERIZATION AGENTS"

March 8, 2004
Boston, Massachusetts

MAIL STOP PATENT APPLICATION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**STATEMENT OF INVENTORS TO BE ADDED IN CONNECTION
WITH REQUEST FOR CORRECTION OF INVENTORSHIP UNDER 37
C.F.R. § 1.48(a)**

Pursuant to 37 C.F.R. §1.48(a)(2), the undersigned hereby states that the error in naming the inventors in the above-referenced application occurred without any deceptive intent on his part.

Respectfully submitted,

Inventor's Signature:

Full Name of Inventor: Mallinath Hadimani

Citizenship: India

Residence: 2014 S. 2nd Street, Apt. # 51, Waco, TX 76706

Post Office Address: Same

03/08/04

Date



**SUPPLEMENTAL COMBINED DECLARATION AND POWER OF ATTORNEY
FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor which is claimed and for which a utility patent is sought on the invention entitled:

**INDOLE-CONTAINING AND COMBRETASTATIN-RELATED ANTI-MITOTIC
AND ANTI-TUBULIN POLYMERIZATION AGENTS**

the specification of which was filed on October 11, 2002 as United States Non-provisional Application No. 10/070,484, bearing Attorney Docket No. 18217-524 NATL.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT International application designating at least one country other than the United States listed below and have also identified below any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

| Appln. Number | Country (if PCT, so indicate) | Filing Date (dd/mm/yy) | Priority Claimed | |
|------------------|----------------------------------|---------------------------|-------------------------------------|--------------------------|
| | | | Yes | No |
| PCT/US/25408 | PCT | 15/09/00 | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> |

Applicants: Pinney, et al
Attorney Docket No.: 18217-524 NATL

I hereby claim the benefit under Title 35, United States Code, § 119(e) or §120 of any United States application(s), or §365(c) of any PCT International application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

| Application No. (U.S.A.N.) | Filing Date (dd/mm/yy) | Status (Patented, Pending, Abandoned) |
|-------------------------------|---------------------------|--|
| 60/154,639 | September 17, 1999 | Abandoned |

PCT International Applications designating the United States:

| PCT International Application No. | PCT Filing Date | Status |
|-----------------------------------|--------------------|----------------|
| PCT/US00/25408 | September 15, 2000 | National Stage |

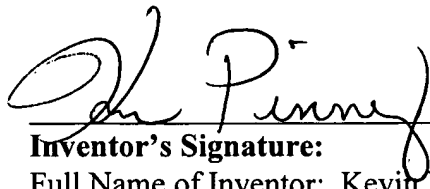
I hereby appoint the attorneys and/or agents associated with Mintz, Levin, Cohn, Ferris, Glovsky & Popeo, Customer Number 30623, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Address all telephone calls to Ivor R. Elrifi at telephone number 617/542-6000.

Address all correspondence to:

Ivor R. Elrifi, Ph.D., Esq.
Mintz, Levin, Cohn, Ferris, Glovsky and Popeo, P.C.
One Financial Center
Boston, MA 02111

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or patent issued thereon.



March 15, 2004

Inventor's Signature:

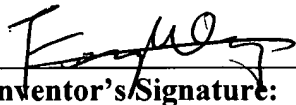
Date

Full Name of Inventor: Kevin Pinney

Citizenship: USA

Residence: 717 Topeka Drive, Woodway, Texas 76712

Post Office Address: Same



03/09/04

Inventor's Signature:

Date

Full Name of Inventor: Feng Wang

Citizenship: Chinese

Residence: 2001 Harrison Ct., Jeffersonville, PA 19403

Post Office Address: Same



03/15/04

Inventor's Signature:

Date

Full Name of Inventor: Mallinath Hadimani

Citizenship: India

Residence: 2014 S. 2nd Street, Apt. # 51, Waco, TX 76706

Post Office Address: Same

TRA 1882374v1